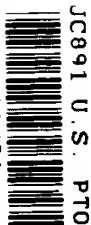


10/18/01



JC891 U.S. PTO

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Approved for use through 10/31/2002, OMB 0651-0002

Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket 960296.97877

First Inventor James A. Thomson

Title Primate Embryonic Stem Cells

Express Mail Label No. ET943407184US

APPLICATION ELEMENTS

See MPEP Chapter 600 concerning utility patent application contents

ADDRESS TO: Commissioner for Patents
Box Patent Application
Washington, D.C. 20231

1. ☒ Fee transmittal Form
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 49]
(preferred arrangement set forth below)
- Descriptive title of the invention
 - Cross References to Related Applications
 - Statement Regarding Fed Sponsored R&D
 - Reference to sequence listing, a table or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure

4. ☒ Drawing(s) (35 USC 113) [Total Sheets 8]
5. ☐ Oath or Declaration [Total Pages 1]
- a. ☐ Newly executed (original or copy)
 - b. ☐ Copy from prior Application (37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)
 - i. ☐ DELETION OF INVENTOR(S)
Signed Statement attached deleting inventor(s)
named in prior application, see 37CFR 1.63(d)(2)
and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
 - b. *Specification Sequence Listing on*
 - i. ☐ CD-ROM or CD-R (2 Copies); or
 - ii. ☒ Paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & documents)
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
(where there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return receipt postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified copy of priority Document(s)
(if foreign priority is claimed)
16. ☐ Other:

17. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information: and in a preliminary amendment or in an Application Data Sheet under 37 CFR 1.76

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application no. 09/761,289

Prior application information: Examiner:

Group/Art Unit: 1633

For **CONTINUATION OR DIVISIONAL APPS** only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

NAME	Nicholas J. Seay		
	Quarles & Brady LLP		
ADDRESS	1 South Pinckney Street		
	P O Box 2113		
CITY	Madison	STATE	WI
		ZIP CODE	53701-2113
COUNTRY	USA	TELEPHONE	608/251-5000
		FAX	608/251-9166

Name	Nicholas J. Seay	Registration No. (Attorney/Agent)	27,384
Signature			Date: October 18, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231. QBMA0316484

**FEE TRANSMITTAL
FOR FY 2002**

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

\$ 740.00

Complete if Known

Application Number

Filing Date

First Named Inventor

James A. Thomson

Group Art Unit

Examiner Name

Attorney Docket Number

960296.97877

METHOD OF PAYMENT (check one)

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit
Account
Number

17-0055

Deposit
Account
Name

Quarles & Brady LLP

- ☒
- Charge Any Additional Fee Required
-
- Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status
See 37 CFR 1.27

- 2.
- ☐
- Payment Enclosed:

☐

Check

☐Credit
Card☐Money
Order☐

Other

FEE CALCULATION**1. BASIC FILING FEE**

Large Entity Fee Code	Fee (\$)	Small Entity Fee Code	Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	740.00
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) (\$ 740.00)

2. CLAIMS

Total Claims	Extra	Fee from below	Fee Paid
8	-20**=	X	
independent	2	-3**=	X
Multiple Dependent Claims			

** or number previously paid, if greater. For reissues see below

Large Entity Fee Code	Fee (\$)	Small Entity Fee Code	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim
109	84	209	42	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$).00

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity Fee Code	Fee (\$)	Small Entity Fee Code	Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920	112	920	Requesting publication of SIR prior to Examiner action	
113	1,840	113	1,840	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive unavoidably abandoned application	
141	1,280	241	640	Petition to revive unintentionally abandoned application	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR 1.129(a))	
146	740	246	370	For each additional invention to be examined (37 CFR 1.129(b))	
179	740	270	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$).00

SUBMITTED BYTyped or
Printed Name

Nicholas J. Seay

Registration No
(Attorney/Agent)

37,386

Complete (if applicable)

Telephone

608/251-5000

Signature

Date

October 18, 2001



Firstar Plaza
Post Office Box 2115
Madison, Wisconsin 53701-2115
Tel: 608.251.5000
Fax: 608.251.9166
www.quarles.com

Attorneys at Law in:
Chicago (Quarles & Brady LLP)
Madison
Milwaukee
Naples
Phoenix
Tucson

October 18, 2001

Commissioner for Patents
Box Patent Application
Washington DC 20231

Re: Filing New Patent Application

Dear Sir:

Enclosed for filing please find a new patent application entitled:

PRIMATE EMBRYONIC STEM CELLS

by James A. Thomson

The undersigned hereby certifies that this document is being deposited with the United States Postal Service today, October 18, 2001, by the "Express Mail" service, utilizing Express Mail label number ET943407184US, addressed to: Commissioner for Patents, Box Patent Application, Washington, DC 20231.

Please indicate receipt of this application by returning the attached postcard with the official Patent and Trademark Office receipt and serial number stamped thereon.

Respectfully submitted,

Enclosures
QBMAD316483